

12/01/99

jc571 U.S. PTO

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Approved for use through 09/30/2000. OMB 0651-0032
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

| | |
|--|--|
| Attorney Docket No. | 021932-2 |
| First Inventor or Application Identifier | Robert C. Slane |
| Title | Establishing and Managing Grantor Retained Annuity Trusts Funded by Nonqualified Stock Options |
| Express Mail Label No. | EJ587172328US |

| APPLICATION ELEMENTS <i>See MPEP chapter 600 concerning utility patent application contents.</i> | | ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231 | |
|--|--|--|--|
| 1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing) | | 5. <input type="checkbox"/> Microfiche Computer Program (Appendix) | |
| 2. <input checked="" type="checkbox"/> Specification [Total Pages 21] (preferred arrangement set forth below) | | 6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) | |
| - Descriptive title of the Invention | | a. <input type="checkbox"/> Computer Readable Copy | |
| - Cross References to Related Applications | | b. <input type="checkbox"/> Paper Copy (identical to computer copy) | |
| - Statement Regarding Fed sponsored R & D | | c. <input type="checkbox"/> Statement verifying identity of above copies | |
| - Reference to Microfiche Appendix | | | |
| - Background of the Invention | | ACCOMPANYING APPLICATION PARTS | |
| - Brief Summary of the Invention | | 7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) | |
| - Brief Description of the Drawings (if filed) | | 8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney (when there is an assignee) | |
| - Detailed Description | | 9. <input type="checkbox"/> English Translation Document (if applicable) | |
| - Claim(s) | | 10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations | |
| - Abstract of the Disclosure | | 11. <input type="checkbox"/> Preliminary Amendment | |
| 3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 5] | | 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) | |
| 4. Oath or Declaration [Total Pages 2] | | 13. <input type="checkbox"/> * Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application, (for continuation/divisional with Box 16 completed) Status still proper and desired (PTO/SB/09-12) | |
| a. <input checked="" type="checkbox"/> Newly executed (original or copy) | | 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) | |
| b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) | | 15. <input type="checkbox"/> Other: _____ | |
| i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b). | | | |
| <p>* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).</p> | | | |
| <p>16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:</p> <p><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No: _____</p> <p>Prior application information: Examiner _____ Group / Art Unit: _____</p> <p>For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.</p> | | | |

| 17. CORRESPONDENCE ADDRESS | | | | | |
|--|---|-----------|---|----------|--------------|
| <input type="checkbox"/> Customer Number or Bar Code Label | | | or <input checked="" type="checkbox"/> Correspondence address below | | |
| (Insert Customer No. or Attach bar code label here) | | | | | |
| Name | Dominic J. Chiantera Moore & Van Allen, PLLC | | | | |
| Address | 2200 W. Main Street, Suite 800 | | | | |
| City | Durham | State | N.C. | Zip Code | 27705 |
| Country | United States | Telephone | 919-286-8000 | Fax | 919-286-8104 |

| | | | |
|-------------------|-----------------------------|-----------------------------------|---------|
| Name (Print/Type) | Dominic J. Chiantera | Registration No. (Attorney/Agent) | 27,776 |
| Signature | <i>Dominic J. Chiantera</i> | Date | 12/1/99 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL
for FY 1999

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ 554.00)**Complete if Known**

| | |
|----------------------|-----------------|
| Application Number | |
| Filing Date | |
| First Named Inventor | Robert C. Slane |
| Examiner Name | |
| Group / Art Unit | |
| Attorney Docket No. | 021932-2 |

METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 13-4365Deposit Account Name Moore & Van Allen, PLLC☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 760 | 201 380 | Utility filing fee | 380 |
| 106 310 | 206 155 | Design filing fee | |
| 107 480 | 207 240 | Plant filing fee | |
| 108 760 | 208 380 | Reissue filing fee | |
| 114 150 | 214 75 | Provisional filing fee | |

SUBTOTAL (1) (\$380.00)**2. EXTRA CLAIM FEES**

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------|--------------|----------------|--------------------------|
| 35 | -20** = 15 | X 9 = | 135 |
| 4 | -3** = 1 | X 39 = | 39 |
| | | | Multiple Dependent = 174 |

**or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description |
|----------------------------|----------------------------|--|
| 103 18 | 203 9 | Claims in excess of 20 |
| 102 78 | 202 39 | Independent claims in excess of 3 |
| 104 260 | 204 130 | Multiple dependent claim, if not paid |
| 109 78 | 209 39 | ** Reissue independent claims over original patent |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 174.00)**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet. | |
| 139 130 | 139 130 | Non-English specification | |
| 147 2,520 | 147 2,520 | For filing a request for reexamination | |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | |
| 115 110 | 215 55 | Extension for reply within first month | |
| 116 380 | 216 190 | Extension for reply within second month | |
| 117 870 | 217 435 | Extension for reply within third month | |
| 118 1,360 | 218 680 | Extension for reply within fourth month | |
| 128 1,850 | 228 925 | Extension for reply within fifth month | |
| 119 300 | 219 150 | Notice of Appeal | |
| 120 300 | 220 150 | Filing a brief in support of an appeal | |
| 121 260 | 221 130 | Request for oral hearing | |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | |
| 140 110 | 240 55 | Petition to revive - unavoidable | |
| 141 1,210 | 241 605 | Petition to revive - unintentional | |
| 142 1,210 | 242 605 | Utility issue fee (or reissue) | |
| 143 430 | 243 215 | Design issue fee | |
| 144 580 | 244 290 | Plant issue fee | |
| 122 130 | 122 130 | Petitions to the Commissioner | |
| 123 50 | 123 50 | Petitions related to provisional applications | |
| 126 240 | 126 240 | Submission of Information Disclosure Stmt | |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | |
| 146 760 | 246 380 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 760 | 249 380 | For each additional invention to be examined (37 CFR § 1.129(b)) | |

Other fee (specify) _____

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**SUBMITTED BY**Name (Print/Type) Dominic J. ChienteraRegistration No. 27,776
(Attorney/Agent)Signature Dominic J. Chientera**Complete (if applicable)**Telephone 919-286-8000Date 12/1/99

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

EXPRESS MAIL CERTIFICATE

EXPRESS MAIL LABEL NO.: EJ587172328US

Date of Deposit: December 1, 1999

Applicant: Robert C. Slane

For: Establishing and Managing Grantor Retained Annuity Trusts Funded by Nonqualified Stock Options

I hereby certify that the following documents:

Express Mail Certificate, and

1. Utility Patent Application Transmittal (PTO/SB/05);
2. Fee Transmittal for FY 1999 (PTO/SB/17);
3. 21 pages of specification including claims and abstract;
4. 5 drawing sheets;
5. Declaration for Utility or Design Application (PTO/SB/01);
6. Check in the amount of \$380.00 for the filing fee;
7. Check in the amount of \$174.00 for the extra claims;
8. A return acknowledgment postcard

are being deposited in a single envelope with the United States Postal Services "Express Mail" service under 37 C.F.R. 1.10 on the date indicated above and such envelope is addressed to Assistant Commissioner for Patents and Trademarks, Box: Patent Application, Washington, D.C. 20231.

Kim Oakley
(Name of Person Mailing Documents)

K. Oakley
(Signature of person mailing documents)